

Purpose

To establish uniform procedures for the writing, signing, and handling of UDOT correspondence.

Policy

It will be the policy of the Utah Department of Transportation to devise and design methods to regulate all incoming and outgoing written mail, messages, memorandums, etc.

Procedures

Handling Incoming Mail

UDOT 05B-6.1

Responsibility: All Complex Employees

Actions

1. All incoming mail will be received, sorted, and delivered to the Complex by the State Mail Services.
 - A. Individuals who receive mail delivered or telefaxed letters from FHWA or the Governor's Office should send a copy to the Administrative Assistant for information and tracking purposes.
 - B. Individuals who receive mail not addressed to any specific person, that is a complaint, will immediately route it to the Administrative Assistant to the Executive Director who will coordinate a reply.
 - C. It will be the responsibility of each Senior Leader to establish well-defined procedures within his/her own Division for tracking incoming correspondence to ensure compliance with (d), below.
 - D. All correspondence having suspense answers or actions required by the Executive Director will be prepared by the Director's Office and sent to the appropriate action Division with return suspense noted.
 - E. Incoming mail, inadvertently misdirected to an office, should be promptly rerouted by the recipient to the Central Records Management Office for further handling. It is emphasized that the rerouting should be done promptly in order to minimize any delay in answering the letters/requests, thereby avoiding the situation of the reply being delinquent.

Responsibility: Central Records Management Staff

2. All incoming correspondence will be received, sorted, indexed, and filed by the Central Records Management Office.
 - A. Central Records will file original letters. If a Division or Section needs the original, it can be requested from Central Records.

- B. Materials sent to Central Records Management are available in a timely manner upon request from any Division. The Records Management Program is set up to administer custodial care for Department information and, when fully utilized, can save space, time and money.
- C. Central Records copies or document materials will be released for filing promptly by all Divisions.
 - 1. One white copy of all correspondence generated by any Division should come to Central Records on a daily basis. This copy should be marked "Record File Copy." (Material held in or on desks can completely disrupt the handling of mail, correspondence, and the microfilming of documents of the UDOT Records Management Program). If there are any questions as to exceptions, contact your Division Records Officer for assistance.
 - 2. On a yearly schedule, all active records should be transferred to Central Records to be purged with existing records and prepared for micro-filming.
- D. All records removed from the Central Records will be charged to the borrower. This will enable Central Records Management personnel to keep an accurate record of the location of the material sent out of the files.
- E. If the material is charged to an individual by Central Records and the individual sends it to someone else, Central Records will be advised by a telephone call so that the charge can be changed. Otherwise, the individual is responsible for the borrowed material until it is returned to file.
- F. No original material will be checked out of the Central Records. If a copy of an item is needed, a verbal or written request should be made to the Central Records staff. Requests will be handled in an efficient and timely manner not to exceed the time limits set by the "Government Records Access Management Act."
- G. Personnel will be available to take verbal or written requests from 7:00 a.m. to 5:00 p.m.
- H. In requesting material from the Central Records Management Section, make your request as definitive as possible, such as project numbers, descriptions, agreement numbers, etc. Material located here will be divided into three groups of file sources as listed below, cross-referenced for speedy and easy retrieval:

1. PROJECTS - All correspondence referencing a specific project. A project number is the most helpful information and must be correctly typed. A title or description is necessary.
 2. SUBJECT - This is all material that does not reference any project and adds to the general knowledge and operation of the Department of Transportation. A master category of all Division names exists, and correspondence from those Divisions is filed accordingly.
 3. AGREEMENTS OR CONTRACTS - All legal documents or agreements, excluding right-of-way deeds, entered in to by the Department of Transportation are contained in this category. These documents are filed by company, alphabetically.
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- I. The Department Records Manager should be contacted if you have any questions as to whether correspondence should be retained or destroyed.
 - J. All correspondence and records of all types must be classified. Records that have information regarding individuals must be classified as public, private Controlled or Protected on the proper forms in accordance with the Utah Code 63-2-301 to 306.
 - K. Information will be released to the public by the guidelines set forth by the "Government Records Access Management Act."
 - L. All Divisions are responsible for the records that are located in their offices. A records officer should be appointed in each Division or Agency Section. It is important that there is an understanding of the classifications (GRAMA) of documents they house and that they maintain only active records. The Records Manager is available to answer questions.
 - M. Correspondence generated from an electronic medium (such as e-mail) that may reference a project or add to the general knowledge or operation of the Department should be printed and sent to the Central Records Management Section for filing. **NOTE:** This would not include such correspondence as transmittals or interoffice communications.

Outgoing Correspondence/Mail

UDOT 05B-6.2

Responsibility: All Complex Employees

General

Actions

1. Preparing correspondence, documents, and/or material for mailing:
 - A. Each item prepared for mailing should contain a “change-of-address notification” advising the recipient of your new “Box Number” mailing address.

i.e. **Utah Department of Transportation
Central Records Management
Box 5840
Salt Lake City, UT 84114-5840**
 - B. Envelopes should be prepared for automated postal machines, “Optical Bar Code Readers.”
 1. Address should be placed in the “Read Area.”
 2. The use of 10 or 12 pitch only.
 3. Capital letters without punctuation.
 4. Return *mailing* address under street address OR just *mailing* address
 5. Nothing in “Bar Code Area.”

SEE EXAMPLE.

Utah Dept of Transportation 4501 S. 2700 W. SLC, Utah 84119 Central Records Management Box 5840 SLC, Utah 84114-5840	-Stamp-
2 1/2"	SUNSET ENTERPRISES
	1223 FAIRMOND DRIVE SLC UT 84119-9999
1/2" ÷	
2-3/4"	
5/8"	{ BAR CODE AREA }

2. Authorization for Signatures.

A. Executive Director or Deputy Director. Letters in the following classifications will be prepared for the signature of the Executive Director or, when authorized, the Deputy Director:

1. Letters to the Governor's Office, Congressional Delegation, Utah State Legislators, and heads of federal, state, county, or city agencies. ALL letters addressed to members of the Congressional Delegation must be routed through the Executive Director's Office. The Executive Director's Office will then coordinate that correspondence with the Governor's Office before sending it to the Delegation.
2. Policy letters committing the Department of Transportation to a definite course of action.
3. Policy letters affecting personnel or operating procedures of the Department of Transportation.
4. Letters to FHWA that were signed by their Division Administrator.
5. All other letters where protocol would indicate the signature of the Executive Director.

- B. Staff Members and Senior Leaders.
 - 1. It will be the responsibility of each Senior Leader to establish well-defined and observed lines of authority within his/her own Division for the writing and/or signing of correspondence.
 - 2. Although policy letters must be prepared for the signature of the Executive Director, this does not prohibit a staff member or Senior Leader from issuing memorandums on routine matters within his/her own Section or Division.
- 3. Routing Slips
 - A. Routing slips should be used for transmitting materials in lieu of preparing a transmittal memorandum.
 - B. Routing slips are to be used with all letters prepared for the signatures of persons other than the originator or dictator. The routing slip will be clipped to the entire file for routing to the signer for correction and signature. The originator will retain a white copy of the letter for control purposes.
 - C. Routing slips are to be used on copies of letters routed to various staff members for information, review and comment, surname approval, or signature.
 - D. Routing slips may also be used for redirecting correspondence.

Letters

- 4. Official UDOT letterhead will be used for correspondence between UDOT and outside individuals and agencies.
 - A. Suspense Action. All suspense dates will be met. If extensions are required, they must be negotiated prior to the original suspense date requested. If an interim reply is necessary, indicate date when complete information will be mailed.
 - B. Subject/Reference Line. The subject line should be placed two lines below the salutation at the left margin.

- C. Opening Sentence (first paragraph) for Correspondence. The first sentence of correspondence replying to a request should reference the original request, date, and any other previous correspondence relating to the subject. For example, "Thank you for your letter dated July 14, 1997." If you have been asked to respond directly to a letter that was originally sent to the Executive Director, etc., you should begin your letter by saying, "John Njord has asked me to review and respond to your letter dated July 14, 1997."
- D. Identification Line (reference initials). Names of the originator and the initials of the typist will be typed on the original letter or memorandum and all copies retained within the Department. They will be placed two lines below the signature block at the left margin.

Example: JRN/NC/jbl Name signed to the letter is not that of the dictator
 JRN/jbl Usual form

- E. Enclosures or Attachments. When enclosures are to be mailed with a letter or an attachment with a memorandum, they should be identified within the correspondence. The word "Enclosure" or "Attachment" will be placed two lines below the identification line at the left margin, followed by the number of enclosures or attachments. If the enclosures/attachments are not identified within the body of the correspondence, they should be listed directly below the word, Enclosure or Attachment.
- F. Copies.
 - 1. The carbon copy designation will be placed two lines below the identification line or enclosure line, whichever appears last, at the left margin. Blind carbon copies of letters written to outside organizations may be routed to staff members by typing "bcc" below "cc" line on copies only. Copies for Central Records and the Executive Director will include copies of all attachments.
 - 2. The originator of the letter will ensure that adequate consideration is given to sending copies to those persons having a need for a copy. In particular, copies must always be sent to Region/District Directors on matters involving their Regions/Districts.
 - 3. Courtesy copies can be furnished to those persons requesting them.
- 5. Examples. Attached is **Exhibit A**, representing an example of the procedures to be followed as prescribed above.

6. Region/District Procedure. Region/District and Project Engineer Offices should follow procedure similar to those contained herein for control of correspondence within their offices.
7. Project Identification for Filing Purposes. The project number, title of the project, and/or the contract identification are absolutely necessary for proper record keeping procedures and must be shown when applicable on memorandums and outgoing correspondence. All copies should be readable and sent to Central Records and should be of such quality that they can be microfilmed or scanned.
8. Letters for the Governor's Signature.
 - A. Draft letters for the Governor's signature should contain no more specialized knowledge than the Governor could plausibly furnish himself. Occasionally, this may mean drafting a brief Governor's letter stating merely that the matter has been referred to this Department and a second, more detailed response from a member of the staff for the Executive Director's signature.
 - B. The format for letters for the Governor's signature is dictated from that office and should adhere to the example shown in **Exhibit E**. **ALL** letters for the Governor's signature must be routed, reviewed, and approved by the Executive Director's Office.

Memorandums

9. Memorandums are used for correspondence within and between state agencies and may also be used for correspondence between the Department of Transportation and the FHWA.
 - A. Interoffice memorandums are published within the Department only. They are printed either on white office paper by using a macro on electronic equipment or on UDOT memorandum stationery. **See Exhibit B.**
 - B. Memorandums to the Governor's Office, FHWA, or other state agencies **must be printed on UDOT letterhead**. **See Exhibit C and D.**
 - C. The "Memorandum" stationery marked "Record File Copy" will be the only copy sent to Central Records management. This sheet should appear as the first copy after the original memorandum. All copies will be on white paper.
 - D. The "Record File Copy" (filed by Project or Subject) is maintained in Central Records.

Correct Use Of Organizational Nomenclature

10. When writing or speaking, the word “Department” will be used only when talking about the Utah Department of Transportation as a whole and is not to be used in referring to a Region/District, Office, Division, Section, Unit, or Group.
11. The organization charts and position guides in the Management Guide are based on a uniform system of organization names and position titles with deviations only as dictated by unusual circumstances. The basic system of names and titles is as follows:

DEPARTMENT:	The Utah Department of Transportation as a whole.
OFFICE:	The Comptroller and functional areas under the Executive Director.
DIVISION:	Responsible for a major portion of the work flow involving several activities or a major support function involving several activities.
SECTION:	Responsible for a major element of the work flow or a support function involving only one activity or a field of closely related activities and organized such that there are organizational subdivisions within it.
UNIT:	Similar to a Section, except that it is smaller in size and has no subordinate organization subdivisions.
GROUP:	A team organized to design, construct, or maintain specific projects or sections of highways.

Exhibit A:

- DEPARTMENT LETTERHEAD -

April 5, 2002

Mr. J. E. Smith
White, Brown & Smith Company
P.O. Box 576
Richfield, UT 84118-6773

Dear Mr. Smith:

SUBJECT: Project S-0402(1), 2nd Contract, Hilltop to Indian Junction

This letter is to certify that the work covered by your contract in connection with the construction of the above project has been completed in a satisfactory manner in accordance with the terms of the contract.

A copy of the final estimate, approved for payment on March 27, 2002, is enclosed.

Sincerely,

John R. Njord, P.E.
Executive Director

JRN/DG/jbl

Enclosure

cc: David C. Gibbs, FHWA Division Administrator

Exhibit B:

- INTER-DEPARTMENT MEMORANDUM -

MEMORANDUM

UTAH DEPARTMENT OF TRANSPORTATION

DATE: April 5, 2002

TO:

FROM:

SUBJECT:

Exhibit C:

- DEPARTMENT LETTERHEAD -

April 5, 2002

MEMORANDUM

TO: David C. Gibbs, P.E.
FHWA Division Administrator

FROM: Darrell Giannonatti, P.E.
Engineer for Construction

SUBJECT: Revisions to Portland Cement Concrete
Pavement Special Provisions

The revisions we agreed to make are included in the attached Special Provisions. Please review the attachment and give us your comments and/or approval. Thank you.

DG/jbl

Attachment

cc: David Miles
Julie Lewis

Exhibit D:

- DEPARTMENT LETTERHEAD -

April 5, 2002

MEMORANDUM

TO: Lynne N. Ward, Director
Office of Planning and Budget

FROM: John R. Njord, Executive Director
Utah Department of Transportation

SUBJECT: Executive Fee Study

I have attached our response to the request by the Office of the Legislative Fiscal Analyst to review Senate Bill 190, User Fees. Point of contact for the Utah Department of Transportation is Charles Larsen, Comptroller, 965-4358, 4501 South 2700 West, Salt Lake City, Utah 84119.

JRN/jbl

Attachment

cc: Charles Larsen

Exhibit E:

- GOVERNOR'S LETTERHEAD -

April 5, 2002

Mrs. Jeanie Johnson
2194 Atherton Drive
Callender, Iowa 50523-4449

Dear Mrs. Johnson:

Thank you for your comments regarding Interstate 80 as it passes through the West Utah Desert. I share your concern about litter and assure you Utah has a very active anti-litter program. Like Iowa, Utah utilizes both inmates and volunteers as part of our litter pick-up program. We also have a very aggressive anti-litter public information program underway, as well as an "Adopt-A-Highway" Program.

The remoteness of Western Utah presents problems for litter pick-up. The highway is picked up at least once annually. However, being in such a remote area, litter seems to accumulate rapidly. The problem can overwhelm our limited litter removal resources. The answer to this problem is a strong public attitude against littering.

Perhaps a deposit law can help. I would be willing to consider such a bill into law if one should be passed by the Utah State Legislature.

The state of Utah is committed to anti-litter efforts. We strive to keep our state as beautiful as possible. It is unfortunate that the actions of a few uncaring individuals distracted you from enjoying your trip through this great state.

Sincerely,

Michael O. Leavitt
Governor

MOL/JRN/jbl